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United States Forces Korea
Unit #15237
APO AP 96205-5237

United States Forces Korea
Regulation 923.1

20 March 2014

Records Management

UNITED STATES FORCES KOREA RECORDS MANAGEMENT PROGRAM

****This United States Forces Korea Regulation Supplements United State Pacific Command (USPACOM) Instruction 0923.1, USPACOM Records Management Program and Chairman, Joint Chief of Staff Manual (CJCSM) 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures. ****

*** This is the first edition.**

FOR THE COMMANDER:

MARK C. DILLON
Major General, USAF
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OFFICIAL:



GARRIE BARNES
Chief, Publications and
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Summary. This regulation establishes policy, responsibilities, and procedures in Records Management and supplements [USPACOMINST 0923.01, U.S. Pacific Command \(USPACOM\) Records Management Program](#) and [CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#).

Applicability. This regulation applies to United States Forces Korea (USFK) personnel (military service members, Federal Government civilians, and contractors) who are assigned, attached, or temporary duty to Headquarters, USFK.

Supplementation. Issue of supplements to this regulation by subordinate commands is prohibited unless prior approval is obtained from USFK Deputy Chief of Staff (FKDS), Unit #15237, APO AP 96205-5237, at usarmy.yongsan.usfk.mbx.usfk-dcs-admin@mail.mil or usarmy.yongsan.usfk.mbx.usfk-records@mail.mil.

Forms. USFK forms are available at <http://www.usfk.mil/usfk/>.

Records Management. Records created as a result of processes prescribed by this regulation must be identified, maintained and disposed of according to [CJCSM 5760.01 Volume II, Joint Staff and Combatant Commands Records Management Manual, Disposition Schedule](#). Record titles and descriptions are available on the CJCS website at http://www.dtic.mil/cjcs_directives/cdata/unlimit/m576001v2.pdf.

Suggested Improvements. The proponent of this regulation is USFK Deputy Chief of Staff (FKDS). Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to the USFK Deputy Chief of Staff (FKDS), Unit #15237, APO AP 96205-5237, email: pacom.yongsan.usfk.mbx.dcs-workflow@mail.mil.

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Chapter 1

Introduction

1-1. Purpose

The overall goal of the United States Forces Korea (USFK) Records Management Program (RMP) is for joint organization or activity (JO/A) commanders and staff principals to ensure the economically efficient and effective creation, maintenance, use, and disposition of Federal records in accordance with United States Pacific Command (USPACOM), Joint Staff (JS), Department of Defense (DoD), and Federal directives.

1-2. References

Required and related publications are listed in appendix A.

1-3. Explanation of Abbreviations and Terms

Abbreviations and terms used in this regulation are explained in the glossary.

Chapter 2

Policy, Responsibilities, and Procedures

2-1. Policy

a. Overall Records Management program responsibility lies with the USFK Deputy Chief of Staff (Senior Records Officer), with program administration executed by the USFK Records Management Office comprised of the Command Records Officer and staff in accordance with USFK, USPACOM, JS, DoD, and Federal directives.

b. [Title 44 United States Code \(U.S.C.\), Chapter 31, Section 3101, Records Management by Federal Agencies](#), requires that all Federal agencies shall make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the U.S. Government and of persons directly affected by the agency's activities.

2-2. Responsibilities

a. Senior Records Officer (SRO)

(1) Oversees the USFK Records Management Program and ensures that the Records Management Office (RMO) develops policies, procedures, and executes USFK's Records Management Program in accordance with USPACOM, JS, DoD, and Federal directives.

(2) Designates in writing the USFK Command Records Officer (CRO) to execute and administer the USFK Records Management Program.

(3) Reviews the performance of the Records Management program and proposing changes and improvements if needed.

(4) Reviews and recommends approval for records schedules submitted by the RMO to the National Archives.

(5) Supports and promotes the Records Management program throughout USFK.

(6) Reviews and approves destruction of records.

(7) Designates in writing a USFK Vital Records (VR) Management Team consisting of the USFK CRO, program officials, emergency coordinator, facility managers, Command Historian, Information Technology, Resource Management, Safety, and Provost Marshal to manage and execute the USFK VR Program.

b. Records Management Office (RMO) or Command Records Officer (CRO)

(1) Administers the USFK Records Management Program and provides assistance to staff principals in its implementation.

(2) Plans, controls, directs, organizes, trains, promotes, and manages records creation, maintenance, use, and disposition policies, systems, standards, and procedures.

(3) In cooperation with staff principals, identifies VR and establishes a disaster and recovery plan for each USFK staff principals' office of records to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption, expense, and protection of the right and interest of the organization and personnel.

(4) In conjunction with USFK History Office (FKHO), develops procedures to ensure the permanent preservation of the historically valuable records of USFK.

(5) Establishes standards for filing, storage equipment, and recordkeeping supplies.

(6) Studies the feasibility of and, if appropriate, establishes a uniform filing system and control system for USFK.

(7) Provides Records Management advice and assistance to all USFK staff principals by preparation of instructions, policies, and procedures.

(8) Monitors records schedules and administrative rules issued by USFK, USPACOM, JS, DoD, and Federal Government to determine if the Records Management program and USFK's records schedules are in compliance with Federal directive.

(9) Disseminates to the USFK Commander and principals/directors information concerning governing directives and administrative rules relating to records.

(10) Instructs Principal Records Officers (PRO), and Records Custodians (RC) on Records Management policies and procedures and their roles and responsibilities pertaining to the USFK Records Management Program.

(11) Directs PRO and RC on the conduct of records inventories in preparation for the development of records schedules and file plans as required by the Federal directive.

(12) Ensures the maintenance, preservation (microfilming), destruction, or other disposition of USFK records are carried out in accordance with the policies and procedures of

the USFK Records Management Program and the requirements of headquarters and Federal directives.

(13) Maintains records on the volume of records destroyed under approved records schedules, the volume of records microfilmed or stored electronically, and the estimated cost and space savings as the result of such disposal or disposition.

(14) Reports annually to the USPACOM Command Records Manager (CRM) on the implementation of the USFK Records Management plan.

(15) Conducts a staff assistance visits (SAV) to all office of records and reporting results to the SRO and USPACOM CRM.

(16) Addresses the non-compliance with the policies and procedures of the USFK Records Management Program by staff principals and other USFK personnel to the attention of the USFK Commander.

(17) Assists RC with the preparation of final destruction of records for approval of destruction from the SRO.

c. Director/Principal

(1) Carries out the policies and procedures established by USFK for the efficient and economical management of records and carrying out the requirements set forth in USPACOM, JS, DoD, and Federal Government.

(2) Adequately documents the transaction of government business and the services, programs, and duties for which the principal head and his or her principal are responsible for.

(3) Maintains the records in his or her care and carries out their preservation, destruction, or other disposition only in accordance with the policies and procedures of the USFK Records Management Program and the requirements set forth in USPACOM, JS, DoD, and Federal Government.

(4) Designates a member of his or her principal staff to serve as PRO for overseeing the USFK Records Management Program in their principal and designating RC for each office of record under their purview (See [Appendix B](#), Sample Principal Records Officer Designation Letter).

(5) Identifies VR and establishes a disaster and recovery plan for each USFK principals' office of records to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption, expense, and protection of the rights and interest of the organization and personnel.

d. Principal Records Officer (PRO)

(1) Carries out the policies and procedures established by USFK for the efficient and economical management of records and in carrying out the requirements set forth in USPACOM, JS, DoD, and Federal Government. The PRO is normally the principal's lead records manager.

(2) Ensures that all Chief Office of Records (CORs) are well aware of the policies and procedures established by USFK for the efficient and economical management of records and in carrying out the requirements set forth in USPACOM, JS, DoD, and Federal Government.

(3) Ensures that the RC conduct a Records Management self-assessment within one year of appointment to RC using the JS Form 32, Records Management Checklist, at appendix A, References, [CJCSM 5706.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#), or equivalent checklist.

(4) Disseminates information to the principal concerning the USFK Records Management Program.

e. Chief Office of Records (COR) identifies VR and establishes a disaster and recovery plan for each office of records through the Records Custodian under their purview to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption, expense, and protection of the rights and interest of the organization and personnel.

f. Records Custodian (RC)

(1) Conducts or assists in the inventory of the records in their principal's office of records in preparation for the development of records schedules or file plans.

(2) Coordinates and implements the policies and procedures of the USFK Records Management Program in their principal.

(3) Prepares and submits SF 135, Records Transmittal and Receipt, for records to be stored in temporary storage or permanently transferred to the National Archive and Records Administration (NARA). See appendix A, References, [CJCSM 5706.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#), for instructions to complete the SF 135.

(4) Completes and submits the documentation for records to be destroyed to the RMO for the approval from the SRO to destroy the records.

(5) Conducts a Records Management self-assessment within 1 year of appointment to primary RC using the JS Form 32, Records Management Checklist, at appendix A, References, [CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#), or equivalent checklist.

(6) Assists the COR in identifying VR and establishing a disaster and recovery plan for each office of records under their purview to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption, expense, and protection of the rights and interest of the organization and personnel.

(7) Conducts an entrance/exit records interview for all personnel under his or her purview and ensures that the applicable Service Element, Civilian Personnel and contractor sponsor receives a copy of the interview to be filed in their personnel folders (See [Appendix O](#). Records Entrance/Exit Interview Form).

g. Records User (RU)

(1) Creates records needed to do the business of their organization, record decisions and actions taken, and document activities for which they are responsible for.

(2) Takes care of records so that information can be retrieved when needed. This means setting up good directories and files, and filing materials (in whatever format) regularly and carefully in a manner that allows them to be safely stored and efficiently retrieved when necessary.

(3) Carries out the disposition of records under their control in accordance with the records disposition schedule and directives.

(4) Reviews, signs and dates an Records Entrance/Exit Interview Forms within 10 days of assignment or arrival to USFK and 10 days prior to departure from USFK (See Appendix O, Records Entrance/Exit Interview Form).

h. Supervisors

(1) Ensures that subordinates know what types of records are created within their unit of assignment.

(2) Maintains a copy of the Entrance/Exit Records Interview Form and ensures that the original is filed in their subordinates' personnel information folders.

i. Vital Records Management Team

(1) Consists of designated USFK VR officials (RMO, program officials, emergency coordinator, facilities managers, Command Historian, Information Technology, Resource Management, Safety, and Provost Marshal) responsible for the USFK VR Program.

(2) Protects and maintains currency of VR and executes the VR Protection Plan during crisis, contingencies, disasters, and exercises.

(3) Evaluate the effectiveness of the VR Protection Plan once every other odd-number year and reports the results to the USFK SRO through the RMO.

2-3. Procedures

a. Records Creation.

(1) Inventory. The purpose of an inventory is to identify all the scheduled and unscheduled records created, received, and maintained by an office of record. Scheduled records are records that have an approved disposition schedule from NARA. Unscheduled records are those records that do not have an approved disposition schedule from NARA and must be approved by NARA using SF 115, Disposition of Federal Records. The SF 115 is completed by USPACOM CRM upon receipt of JS Form 30, Joint Staff Records Management Survey, at appendix A, References, [CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#). The inventory must be conducted

before building a file plan. Use [Appendix C](#), Inventory and File Plan Data Sheet, to conduct an inventory of records.

NOTE: *Unscheduled records are treated as permanent records until a determination is made by NARA.*

(2) File Plan. By creating a file plan, you will be able to locate records quickly and eliminate wasteful searches and frustration. A key element in creating the file plan is the [Joint Staff Disposition Schedule \(CJCSM 5760.01A, Vol. II\)](#). The first thing to do is refer to the disposition schedule and identify the applicable records that your office will be maintaining on the Inventory and File Plan Datasheet at [Appendix C](#). Next, have the RC review and forward the proposed file plan to the RMO for final approval. Once approved by RMO, the RMO will produce a certified Records File Plan. The office of origin or office of record will then use the approved file plan to manage their records (See [Appendix D](#), Sample File Plan). Complete the Inventory and File Plan Datasheet (MS Excel). The datasheet generates a file plan within minutes and enables quicker approval from the RMO.

NOTE: *Only complete the data field highlighted in red and the data fields highlighted in yellow.*

(3) Directories/Electronic Folders on the Shared Drive. The electronic file plan should be located in the applicable office of record under an electronic folder titled “00-File_Plan” and named “vfileplanusfkdc” and saved in a PDF format. The “v” is the identifier for VR. See [Appendix E](#), Sample Shared Drive File Plan Directory.

(4) Labels for Drawers, Binders, Folders, and Guide Cards (physical/hardcopy records). See [Appendices F, G, & H](#), Sample Labeling of Drawers, Binders, Folders, and Guide Cards.

(5) Identifying and Naming a Record. Identifying and naming a record from the start is crucial to the efficiency and effectiveness of creating, maintaining, and disposing of records. By not applying these two mentioned actions from the beginning will only result in frustration and wasted time and effort in locating and retrieving records.

(a) Identifying. Use [Appendix I](#), Identifying a Record, to assist determining what is and is not a record.

(b) Naming (Electronic Records). A naming convention is defined as a set of standard rules when naming electronic files or records to enable ease of search and retrieval of electronic files and records; it is a form of metadata tagging. Applying a file NC will tremendously reduce wasted time searching a file or record and the frustration and stress levels associated with not having applied a NC. The following is a list of general rules for file NC (See [Appendix J](#), 10 Rules for Naming Convention):

- Use only alpha-numeric characters.
- Do not use special characters, such as #, \, /, :, ?, “, <, >, {, }, [,], @, \$, %, ^, &, *, +, and =. Only exclamation point “!”, underscore “_” and hyphen “-” are acceptable.
- Use “!” as the first character for any records containing PA, PII, or sensitive but not classified information.

NOTE: *These records must be protected (encrypted or access controlled).*

- Use “_” or “-” to separate parts of the file NC.
- Do not use space(s) in the file name.
- Use leading zeros. If the file name includes numbers, use zeros as placeholders. For example, a collection with 999 items should be numbered: brief001.ppt, brief002.ppt...brief999.ppt. This practice facilitates sorting and file management.
- Use YYYYMMDD format for dates. Example 20130901 for September 1, 2013.
- Try to limit maximum length of naming convention to 25 or less characters.

(6) Search Using MS Explore. [Appendix L](#), Sample Search Using MS Explore, illustrates a search using wild card to find the referenced minutes.

b. Records Maintenance and Use. Maintenance and use refers to storage, security, and retrieval of records.

(1) Storage and Security. The storage of records both physical and electronic must be filed in an approved storage container or device set forth by the applicable regulations and directives. Additionally, access controls must be applied to the records required by law to protect the rights and interest of the organization and personnel. For instance Privacy Act information must be protected in accordance with the Privacy Act of 1974. If space is available, inactive records of 5 years or more retention may be stored in an Inactive Storage Facility (ISF), but the RC must contact the RMO for availability of storage space.

(2) Retrieval/Charge Out. Records retrieval is the process of locating and delivering records. Charge out is the process of checking out a record (physical and electronic) using a [DD Form 2861, Cross-Reference](#), in place of the record being checked out.

(a) Active Records. Files/Records Custodians must ensure that individuals complete a DD Form 2861, Cross-Reference, in place of a record.

(b) Inactive Records. Inactive electronic records will remain in shared drive under an inactive folder until destruction date. When retrieving records from the ISF, the RC must contact the CRO.

(c) Federal Records Center (FRC). When RC wants to retrieve a record or records from the FRC, he or she must complete Optional Form 11, Reference Request, and submit to the RMO (See [Appendix P](#), Optional Form 11, Reference Request).

c. Records Disposition. Disposition are those actions (litigation, transfer, or destruction) taken regarding records no longer needed for the conduct of the regular current business of the agency.

(1) Transfer. The transfer of records is the physical and electronic relocation and transfer of control or custody of records to another entity. The transfer or accession of permanent records to the Federal Records Center or NARA must be accomplished by

completing a SF 135, Records Transmittal Receipt, via the CRM (See appendix A, References, [CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#), for instructions to complete the SF 135).

(2) Destruction. Destroy records in accordance with the disposition schedule, appendix A, References, [CJCSM 5760.01A, Vol. II, Joint Staff and Combatant Commands Records Management Manual, Disposition Schedule](#). For classified and special categories of records, insure to follow the destruction guidance in accordance with the directives that cover those records.

(3) Litigation. For those records under litigation, ensure not to destroy until written authorization from higher authorities is received. If you any questions, consult with the CRO or RMO for clarification of guidance.

d. Vital Records. Vital Records are any recorded information, regardless of format (physical, electronic, paper, microfilm, diskette, magnetic tape, optical disk, etc.) that must be protected in the event of an emergency because of the severe consequences to USFK and its personnel as a whole if the record were to be lost or destroyed. See appendix A, References, [Title 33 Code of Federal Regulations, Part 1223, Managing VR](#), is the prescribing directive which requires that all Federal agencies establish a VR program to enable an agency to accomplish two major objectives; (i) conduct its business under other than normal operating conditions and to resume normal business afterward; and (ii) enables agency officials to identify and protect the most important records dealing with the legal and financial rights of the agency and of persons directly affected by the agency's actions.

(1) Two Categories of VR: Emergency Operating and Rights and Interests.

(a) Emergency Operating

- Emergency preparedness plans
- Orders of succession
- Delegations of authority
- Emergency staffing assignments
- Emergency operations center access credentials and classified or restricted access container documentation
- Building plans and building systems ops manuals and equipment inventory
- File plans describing the records series and electronic info systems (EIS)
- VR inventories
- Copies of program records needed to carry out continuing critical functions
- System backups

records

- System documentation for any EIS designated as emergency-operating

(b) Rights and Interest

- Accounts-receivable records
- Social security records
- Payroll records
- Retirement records
- Insurance records
- Any records relating to contracts, entitlement, leases, or obligations whose loss would pose a significant risk to the legal and financial rights of the Federal Gov't or persons directly affected by its actions
- System documentation for any electronic information systems designated as records needed to protect rights

(2) Five (5) Steps to Identifying, Inventorying, and Protecting VR. The immediate question that needs to be addressed, *"Are these records vital to continuing USFK's mission of protecting the Korean peninsula against external aggression and USFK personnel rights and interest?"* Two other questions must also be addressed: (1) *Could you access the critical information your office needs to perform its key functions in the case of an emergency?* and (2) *Does your office have contingency plans in place for protecting its VR in the case of a disaster?*

(a) Step 1. Identify your office's VR. The first thing you need to do is to review the information and records maintained in your office and determine which ones would be needed in an emergency. There are three tiers of VR protection. Tier 1 protects those records necessary in the first few hours of a crisis. Tier 2 records are necessary to respond to the emergency at hand. These records involve only that work which is necessary to handle the crisis. It is assumed that no day-to-day work will be done until the building is reopened or you have complete access to your records. Tier 3 records involve activities which are the most critical to the Agency mission. This assumes that your records are completely inaccessible for a prolonged period of time and the few most critical activities will need to be continued off-site without interruption. Here are some examples:

- Tier 1. Those records necessary in the first few hours of a crisis (records that may be needed immediately):
 - Emergency preparedness plan (such as Continuity of Operations [COOP])
 - Emergency telephone tree
 - Delegations of authority

- Security clearance roster
- Office evacuation blueprints and maps (so emergency workers will know where they are going)
- Policy for talking to the media
- Copy of VR inventory

NOTE: *Many of these records will be included in the office's COOP plan. For this reason, they are also known as "COOP VR."*

- Tier 2. Those records necessary to respond to an emergency. These records involve only that work which is necessary to handle the crisis; it is assumed that no day-to-day work will be done until the building is reopened, and/or there is complete access to the records:

(Records that may be needed to respond to the crisis)

- System manuals for critical electronic databases and LANs
- Regulatory information (e.g., copies of regulations or data on air quality, etc., so important environmental monitoring work can continue)

(Records that may be needed to provide employee benefits)

- Personnel records for all employees, including medical records
- Time and attendance records (e.g., those located in IO/Program)

(Records that may be needed to get back into the office)

- Combinations and/or keys to get into locked areas
- Records recovery information (e.g., phone numbers of salvage companies)

- Tier 3. Those records involving specific activities which are the most critical to USFK's mission. This assumes that the normal USFK records are unavailable for a prolonged period of time due to an emergency which causes long-term displacement of personnel and equipment from the work site to a new operating location. Most of the day-to-day work in this catastrophic situation would need to be recreated. Any program-specific records on activities that are deemed to be of critical importance, in which case the work cannot be interrupted, even if, as in the worst case, the building has been destroyed and all of the USFK records are lost. The determination of tier three records must be made by each office. **NOTE:** *If an office decides that none of their work rises to this level of importance, there will be no tier three records. Any records deemed necessary in supporting the office's essential functions should be a part of the office's set of VR.*

The acid test for VR is as follows (for each record thought to be vital, ask):

- Can office's Agency critical work continue without record?
- Can the record be found elsewhere or reconstructed?
- Is it already protected elsewhere? (See step 3.)
- Is it considered unique and irreplaceable?

(b) Step 2. Prepare an inventory of VR. Next you need to prepare a listing, or inventory, of the records identified in Step 1. Decide who needs to have copies and establish a procedure to ensure the inventory is updated and sent to the appropriate people. Everyone's cooperation is needed when preparing the inventory. It is necessary for the following people to be involved:

- Records Custodians (RC) serve as VR coordinators and implement the VR program for their offices, including preparing the inventory and working with office staff to ensure records are protected. They may also have to compile information, such as a list of lock combinations. The RC must complete an Inventory/File Plan Datasheet and submit to the USFK RMO for approval prior to completing a VR Protection Plan (See [Appendix M](#), Vital Records Protection Plan Template).

- Management makes a VR program a priority as quickly as possible. This includes revising priorities of the staff to allow time to implement the program.

- Database Managers and LAN Administrators ensure electronic systems in their control are regularly backed up and accessible in an emergency. This may require storing copies and equipment to read the copies offsite.

- Staff must be as cooperative as possible and assist where needed.

(c) Step 3. Determine how the records will be protected. Now that you know which records in your office are vital and where they are located, you need to determine how to protect them. There are two basic choices: (1) duplicate them and store them offsite; or (2) collect them from other sources and recreate them. The following is a list of questions that will assist you in making your decision.

- Can these records be found in locations other than this office and geographic location (e.g., alternate operating location for contingencies and exercises or subordinate organization)?

- Is the information contained in these records available in an electronic system or database (e.g., Electronic Joint Manpower and Personnel System or EJMAPS)?

- What is the most cost effective manner to recreate these VR (e.g., storage on compact disks, photocopying, collecting them from another agency)?

- Do these records contain any sensitive information (e.g., PA, PII) which would require special handling?

- How often does the information need to be updated and who will be responsible for updating it?

Note 1: If you will be duplicating information, use electronic media whenever possible since the cost to reproduce and store information electronically will be less than duplicating and storing paper. It is also critical to have a backup in case the primary electronic system fails. This can be accomplished by copying onto CD-ROMs.

Note 2: However, electronic media does have some potential pitfalls. Here are some issues to consider: (i) Migrate information to new media when software and hardware changes. Records

which cannot be read with existing equipment are useless and (ii) Test the information once it is copied to be sure there are no errors. If there was an error when it was copied, waiting until you're trying to recover from a disaster is the wrong time to find out.

(d) Step 4. Designate an offsite storage location. Based on the decisions made in Step 3, it is likely you will need to find an offsite location to store duplicates. Here are some things to consider when selecting a location:

- 30 miles is considered sufficiently close for access, but far enough away so that the records will not be vulnerable for most emergencies.
- Records which will be needed immediately, such as the emergency preparedness plan and telephone tree, can be stored in a manager's home. However, it is important that another copy be stored in the central location for off-site storage. That will allow access to the record if the manager is not available.
- Other COOP relocation offices (HQ, alternate site location for contingencies/exercises, or subordinate organizations), as well as the local Federal Records Center or commercial offsite storage, may be appropriate choices.
- You may need equipment (e.g., computers, microfilm readers) to read the records.
- The records will need to be immediately accessible, therefore, they should be stored as close to the facility for emergency off-site operations as possible. Commercial storage allows immediate access to the records at all times, which may not be possible at a government facility.

(e) Step 5. Protect the records. Finally, once you have decided how the records are to be protected, add the information to your inventory. The inventory should show:

- The method of protection (e.g., photocopies).
- How often the records are updated (rotation schedule) and who does it.
- Contact information if the records are to be collected from other locations.

Note 1: Records should be updated as often as possible. Consider the risk to the recovery effort if the information is out of date. Consider the cost of keeping it updated.

Note 2: Ensure that any other documents which contain information related to the office's VR program, such as the office's COOP, reflect the most updated VR program-related information.

Note 3: Create a resource list of disaster recovery firms for your geographic area and update the information at least annually.

Note 4: Don't forget to test your plan to be sure the recovery runs smoothly. Include drills on using the equipment, supplies, and procedures for VR recovery.

Appendix A

References

[Title 44 United States Code, Chapter 31, Section 3101, Records Management by Federal Agencies](#)

[Title 36 Code of Federal Regulations, Part 1223, Managing VR](#)

[DoDD 5015.2, Department of Defense Records Management Program](#)

[DoD 5015.02-STD, Electronic Records Management Software Applications Design Criteria Standard](#)

[CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#)

[CJCSM 5760.01A, Vol. II, Joint Staff and Combatant Commands Records Management Manual, Disposition Schedule](#)

[USPACOMINST 0923.01. U.S. PACOM Records Management Program](#)

Appendix B
Sample Principal Records Officer & Records Custodian Designation Letters

Sample Principal Records Officer Designation Letter



HEADQUARTERS, UNITED STATES FORCES KOREA

UNIT #15237
APO AP 96205-5237

[FKXX]

[Date]

MEMORANDUM FOR FKDS RECORDS MANAGEMENT OFFICE

SUBJECT: PRINCIPAL RECORDS OFFICER (PRO) DESIGNATION LETTER

1. Per USFK Reg 923.1, USFK Records Management Program, paragraph 2.2.c.(4), the following person is appointed as the primary PRO:

[Name Grade / Rank / Office Code / Bldg & Rm # / Phone # / DEROS]

2. Per USFK Reg 923.1, USFK Records Management Program, paragraph 2.2.c.(4), the following person is appointed as the Alternate PRO:

[Name Grade / Rank / Office Code / Bldg & Rm # / Phone # / DEROS]

3. Questions can be directed to [POC] at [72X-XXXX] or [Email].

[Principal/Deputy or equivalent
Signature Block]

Courtesy copy:

[Offices identified in the letter]

Appendix B (Continued)
Sample Records Custodian Designation Letter

[FKXX]

[Date]

MEMORANDUM FOR FKDS RECORDS MANAGEMENT OFFICE

SUBJECT: RECORDS CUSTODIAN (RC) DESIGNATION LETTER

1. Per USFK Reg 923.1, USFK Records Management Program, paragraph 2.2.e.(1), the following person is appointed as the Primary RC:

[Name Grade / Rank / Office Code / Bldg & Rm# / Phone # / DEROS]

2. Per USFK Reg 923.1, USFK Records Management Program, paragraph 2.2.e.(1), the following person is appointed as the Alternate RC:

[Name Grade / Rank / Office Code / Bldg & Rm # / Phone # / DEROS]

3. Questions can be directed to [POC] at [72X-XXXX] or [Email].

[COR or equivalent Signature Block]

Courtesy copy:

[Offices identified in the letter]

Appendix C Inventory File Plan Data Sheet

Add To FP	Date Prepared	Schedule No	Type	Series Title	Series Description	List DA
YES	19-Apr-13	0100-05	Temp	0100 Series Bucket — Organization, Manpower, Committee and Board Records	Non-Record material maintained by any activity is for reference purposes only. Table 1.1 lists non-record numbers from the previous edition of CJCSM 5760.01, Vol. II. See Enclosure D. 0101-03, 0104-04, 0106-02, 0109-04, 0101-05, 0104-09, 0106-04 0102-02, 0105-02, 0107-03, 0103-02, 0105-03, & 0109-03	Destroy/delete when no longer needed for reference.
YES	19-Apr-13	0200-05	Temp	0200 Series Bucket — Personnel / Payroll	Non-record aternal material maintained by any activity is for reference purposes only. Table 2.1 list non-record numbers from the previous edition of CJCSM 5760.01, Vol. II. See Enclosure D. 0201-02, 0218-02, 0229-03, 0236-08, 0204-02, 0223-02, 0230-07, 0247-02, 0204-04, 0226-11, 0231-07, 0214-05, 0227-02, 0232-04, 0214-09, 0227-04, & 0236-07	Destroy/delete when no longer needed for reference.
YES	19-Apr-13	03		Intelligence / Security	Short-term records (180 days or less) related to intelligence and security are records that have minimal or no documentary or evidential value. Examples are: routine requests for information or publications and copies of replies which require no administrative	Destroy/delete 6 months after cutoff.

Enter the date this spreadsheet submitted to Command Records Manager.
Example format: DD-Mmm-YY

File/Label Title	Series Location	Cutoff	Org	Office	Point of Contact	Phone No	Records Officer	Files Custodian (FC)	FC Phone No	Inclusive Dates	Medium
Orgal Reco Type the location that the record are filed: NIPR Shared Drive SIPR Shared Drive NIPR/SIPR Shared Drives	NIPR/SIPR Shared Drives	NLN	PACOM	J623	Palomo, John GS12	477-9384	Kleyer, Kristina GS12	Waller, Johnathan GS13	477-8284	Type the last name, first name, and rank of the Files or Records Custodian. Example: Doe, John GS12 or	Electronic
Perse For Physical (Hardcopy): Bldg #, Rm #, Cabinet #, and Drawer # Type the organization: Example: USPACOM, USFK, USFJ, ALCOM, COE, JIOC, JIATFW, JPAC	NIPR/SIPR Shared Drives	NLN	PACOM	J623	Palomo, John GS12	477-9384	Kleyer, Kristina GS12	Waller, Johnathan GS13	477-8284	Type "Inclusive Dates" of records. This is used when conducting a records inventory. Type the last name, first name, and rank of the Point of Contact or individual preparing the inventory (leave blank if preparing for file plan). Examples: J00, J01, J1, J6, or J9	Electronic
Inte Type the last name, first name, and rank of the Point of Contact or individual preparing the inventory (leave blank if preparing for file plan).	NIPR/SIPR Shared Drives	Months	PACOM	J623	Palomo, John GS12	477-9384	Kleyer, Kristina GS12	Waller, Johnathan GS13	477-8284	Type the medium record is stored on: Electronic Paper Audiovisual Microfilm Other Paper	Electronic
Physical Security Container Information	NIPR/SIPR Shared Drives		PACOM							Type the last name, first name, and rank of the Records Officer (Director, Principal, etc). Example: Doe, John GS12 or Jones, Jane MAJ	

Reference Activity	Cut-off Length	Arrangement	Vital Records Status	Vital Records Type	Duplication	Duplication Type	Volume	Finding Aids(if any)	Annual Accumulation	Restrictions	Con Rec	
Current		Chronological	NO	N/A	YES			NONE		NONE	AGOC	
Type to frequency of usage: Current, Semi-current, or Non-current. Current = at least once a month per file unit. Semi-current = less than once a month per cutoff. Non-current = not used for current agency business.			Is it a Vital Record? YES or NO		VOLUME: Type the initial volume size when inventorying records: Cubic feet for physical (hardcopy) and bytes for digital (softcopy).		FINDING AIDS: List any finding aids to locate or retrieve the record. Example, microfilm equipment or a special search device.		ANNUAL ACCUMULATION: Type the annual accumulation in cubic feet for physical (hardcopy) and byte size for digital (softcopy).		RESTRICTIONS: Type any restrictions and reference the directive authority.	
Current		Chronological	NO	N/A	YES			NONE		NONE	AGOC	
Type the length of time a record is kept after the cutoff.			VITAL RECORDS TYPE: Emergency-Operating Rights and Interests Both		DUPLICATION: YES or NO							

Condition of Permanent Records	Comments on Condition	Disposition Authority (DA)	Litigation	Privacy Act	FILE LABEL	SORN
GOOD	NONE	YES	NO	NO		
Type Condition of Records: Good, Fair or Poor		LITIGATION: Is it under litigation? YES or NO		PRIVACY ACT: Is it Privacy Act? YES or NO		SORN: System of Record Notice (SORN). This is reserved for the CRM.
If applicable, type comments on condition of records.				FILE LABEL: Type "YES" if requiring labels printed for hard copy folder.		
GOOD			NO			

Appendix D

Sample File Plan

USFK FILES MAINTENANCE AND DISPOSITION PLAN					OFFICE OF RECORD USFK/J1	
Records Officer: Doe, John GS12			Records Custodian: Jones, Jane MSgt			
Date Prepared: 2013-04-19			Authority: CJCSM 5760.01A Vol. I and II			
SERIES/FILE NO.	TITLE, DESCRIPTION	ARRANGEMENT	LOCATION	DISPOSITION	VITAL	PA
0100-05	Organization, Manpower, Committee, and Board Records (Non-record) (Temp)	Chronological	NIPR/SIPR Shared Drives	Destroy/delete when no longer needed for reference.	No	<input type="checkbox"/>
0200-05	Personnel/Payrol (Non-record) (Temp)	Chronological	NIPR/SIPR Shared Drives	Destroy/delete when no longer needed for reference.	No	<input type="checkbox"/>
0300-01	Intelligence/Security (Short-term) (Temp)	Chronological	NIPR/SIPR Shared Drives	Destroy/delete 6 months after cutoff.	No	<input type="checkbox"/>
0300-01A	Physical Security Container Information (Temp)	Chronological	NIPR/SIPR Shared Drives		No	<input type="checkbox"/>
0300-01B	Security Inspections and Audits (Temp)	Chronological	NIPR/SIPR Shared Drives		No	<input type="checkbox"/>
0300-02	Intelligence/Security (Working Papers & Office Admin Records) (Temp)	Chronological	NIPR/SIPR Shared Drives	Destroy/delete 3 years after cutoff.	No	<input type="checkbox"/>
0300-02A	Security Administrative Correspondence (Temp)	Chronological	NIPR/SIPR Shared Drives		No	<input type="checkbox"/>
0300-02B	Document Receipt (Temp)	Chronological	NIPR/SIPR Shared Drives		No	<input type="checkbox"/>
0300-02C	Destruction Certificates (Temp)	Chronological	NIPR/SIPR Shared Drives		No	<input type="checkbox"/>
0300-05	Intelligence/Security (Non-record) (Temp)	Chronological	NIPR/SIPR Shared Drives	Destroy/delete when no longer needed for reference.	No	<input type="checkbox"/>
0400-05	Military Justice, Legal, Protocol, and Public Affairs (Non-record) (Temp)	Chronological	NIPR/SIPR Shared Drives	Destroy/delete when no longer needed for reference.	No	<input type="checkbox"/>

Appendix E

Sample Shared Drive File Plan Directory (to include Main and Subfolders)

File Plan - "V" indicates a Vital Record

Main Folder

Subfolders

Cutoff

No longer needed (NLN)

3 years (3yrs)

6 months (6mons)

NOTE:

1. Ensure that all records are formatted in Adobe or Portable Document Format (PDF).
2. Only "records" are filed in the file drive location.
3. Working files and work in progress are not filed in the file drive location.
4. Contact the Records Custodian for assistance.

Records to be filed are placed in the "4-Inbox" and formatted in PDF by the Records User. The Records Custodian will file record in the applicable folder.

Appendix F

Sample Labeling of Drawers and Binders

All record labels will contain the following information, whether on paper files, folders, or envelopes; binders or boxes; filing cabinets, safes, shelves, or drawers; or other types of containers such as those in which audiovisual and electronic records are stored (e.g., cans, cases, disks, CD- and DVD-ROMs, and external hard drives).

- File number
- File title
- Disposition instructions (exception noted in each sample)
- Year of accumulation when appropriate
- Security classification and/or other applicable handling instructions

Drawers

<div data-bbox="289 720 699 915" style="border: 1px solid black; border-radius: 10px; padding: 10px; text-align: center;"> 201-01 thru 630-01 (13) </div> <p>Sample label entry for drawer that contains two or more records series. No disposition is shown on the label because it varies among the many record series in the drawer.</p>	<div data-bbox="922 720 1341 915" style="border: 1px solid black; border-radius: 10px; padding: 10px; text-align: center;"> 302-01 Security Administrative (13) Correspondence COFF 31 Dec 13, destroy Jan 16 </div> <p>Sample label entry for drawer that contains one (and only one) record series, and contains all of that record series. NOTE: The drawer label is identical to folder label in this case.</p>
<div data-bbox="277 1104 699 1299" style="border: 1px solid black; border-radius: 10px; padding: 10px; text-align: center;"> 227-01 Official Military Personnel Records (A-L) Destroy Upon Transfer of Personnel </div>	<div data-bbox="932 1104 1341 1299" style="border: 1px solid black; border-radius: 10px; padding: 10px; text-align: center;"> 227-01 Official Military Personnel Records (M-Z) Destroy Upon Transfer of Personnel </div> <p>Sample label entries for drawers that contain only part of one record series. NOTE: The division (A-L, M-Z) is indicated on each label.</p>

Binders

<p>NOTE: When one record series of documents is filed in more than one binder, the disposition instruction is required only on the first binder. Subsequent binders need only show the file number and title of the contents.</p>	<div data-bbox="542 1428 753 1812" style="border: 1px solid black; padding: 10px; text-align: center;"> ○ 015-03 Ref JSIs JSIs 1130.91 thru 5760.01 Dest when ss or canc ○ </div>	<div data-bbox="889 1428 1101 1812" style="border: 1px solid black; padding: 10px; text-align: center;"> ○ 903-01 Ref Pub Files DoDD 5000.1R thru 5700.1 Dest when ss or canc ○ </div>	<div data-bbox="1170 1428 1382 1812" style="border: 1px solid black; padding: 10px; text-align: center;"> ○ 903-01 Ref Pub Files DoDD 5800.1R thru 7500.2 Dest when ss or canc ○ </div>
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Appendix G

Sample Labeling of Folders

Active Folders

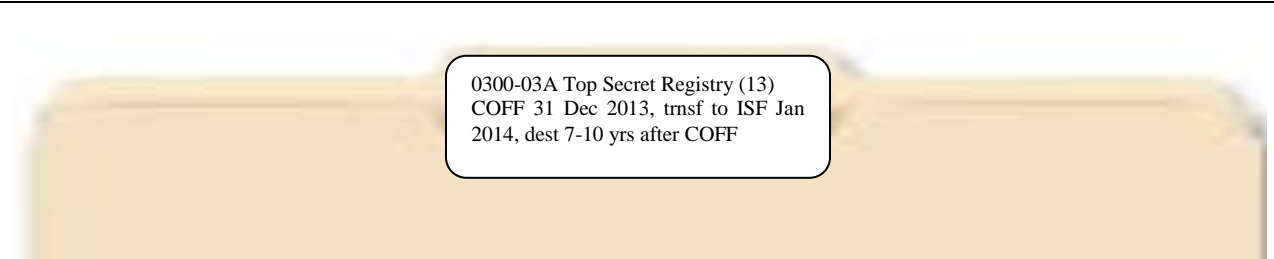
306-01 Top Secret Register
ACTIVE. PIF when all copies of documents have
been dest or otherwise permanently disposed of.

Position Temp (Destroy), Temp (Transfer), & Perm



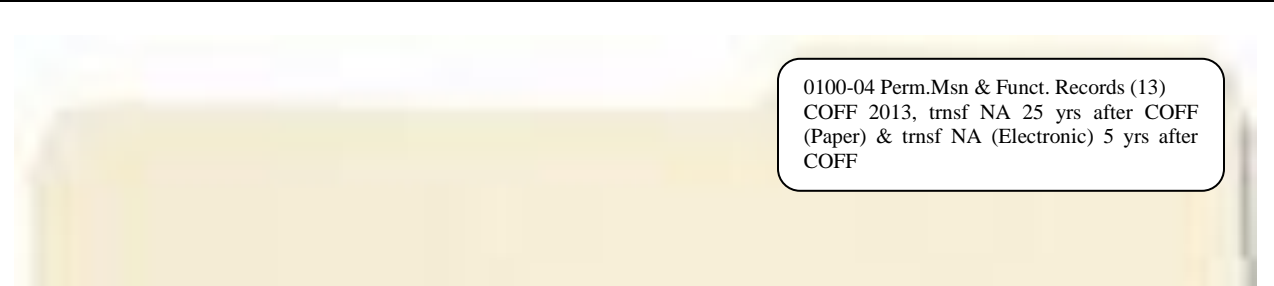
1000-02P Customer Service Files
Dest 3 yrs after cutoff

Left Position: Temporary records to be destroyed in the current files area.



0300-03A Top Secret Registry (13)
COFF 31 Dec 2013, trnsf to ISF Jan
2014, dest 7-10 yrs after COFF

Center Position: Temporary records to be transferred to
an ISF for temporary storage and then destruction.



0100-04 Perm.Msn & Funct. Records (13)
COFF 2013, trnsf NA 25 yrs after COFF
(Paper) & trnsf NA (Electronic) 5 yrs after
COFF

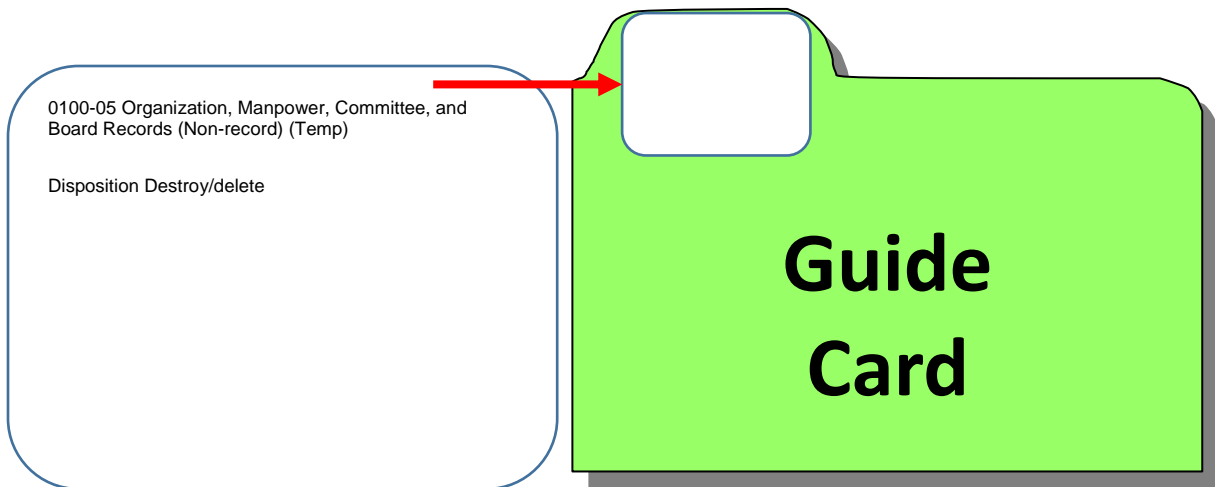
Right Position: Permanent records to be retired to NARA directly
or through an intermediate holding facility.

Appendix H

Sample Labeling of Guide Cards

A guide card is created for each records series:

- a. File No: 0100-05
- b. Title Description: Organization, Manpower, Committee & Board Records
- c. Type: Temporary (Temp) or Permanent (Perm)
- d. Disposition/Cutoff: Destroy/delete, a specific period per CJCSM 5760.01A, Vol. II



Appendix I Identifying a Record

Use the diagram chart below composed of 10 questions one must ask to identify a record both physical and electronic.

a. The left side of the diagram highlighted in green are labeled records if the answer are Yes.

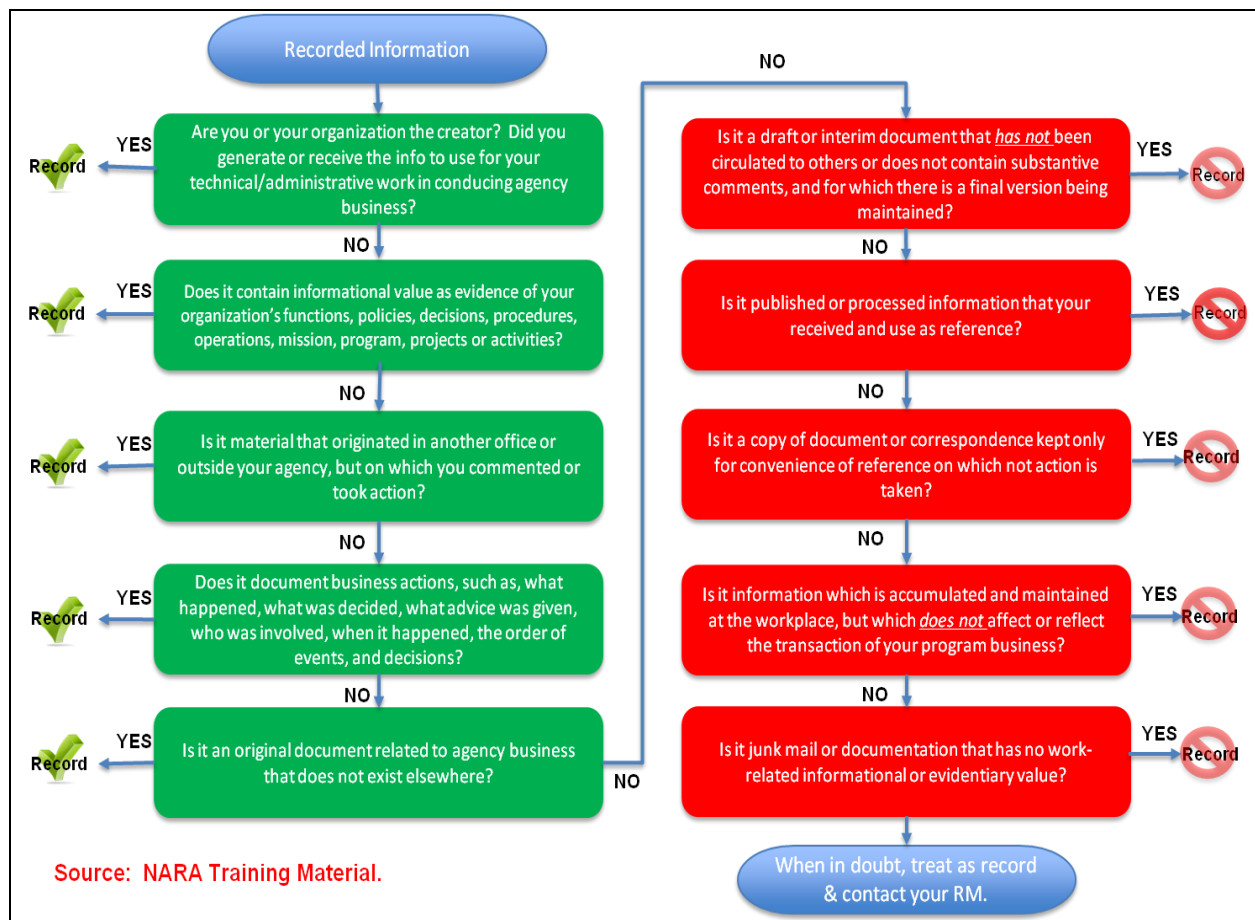
b. The right side of the diagram highlighted in red are labeled non-records when the answers are Yes.

c. The way this 10-question process diagram works is that you start with the first question.

(1) If the answer is Yes, then you've identified whether an e-file or file is a record or non-record...this is where you done with that e-file or file.

(2) If the answer is No, then you continue on to the next question until the answer is Yes.

d. Lastly, when in doubt, treat the file as a record and consult with the RC or RMO.



Appendix J

10 Rules for Naming Convention

10 Rules for NAMING Convention

Rule #	Description	Example
1	Limit NC to 3 parts & separate the parts w/ underscore (_). NOTE: Rules 2 to 10 explain the parts or elements.	0900-02_staffvisitationesjb200809100614Atch01-01.msg I-9-10 II-1, 2, 3, 4, 5, 6, 7, & 8 III-6, e-file extension
2	NC should be short & meaningful (< 25 characters) a minimum a <u>unique brief subject</u> & <u>date (YYYYMMDD)</u> .	Corr: <u>budgetminutes20080908.pdf</u> Incorr: <u>budgetminutes080908.pdf</u>
3	In the subject portion of NC don't use " <u>articles</u> " or " <u>conjunctions</u> ." Ex: "a, the, for, and, etc."	Corr: <u>requestleavedoejd20081110.doc</u> Incorr: <u>requestforleavedoejb20081110.doc</u>
4	May use hyphen (-) and <u>not</u> space to distinguish words in the subject of NC.	Corr: <u>Request-Learn-DoeJD-20081110.doc</u> Incorr: <u>request for leavedoejb2008-11-10.doc</u>
5	Use leading zeros for a collection w/ 100 items. Example: brief001.ppt, brief002.ppt ... brief011.ppt, brief012.ppt, etc. (NOT brief1.ppt, brief2.ppt ...).	Corr: <u>brief01120081107.ppt</u> Incorr: <u>brief1-20081107.ppt</u>
6	NC of email should include the <u>subj</u> , the <u>last name</u> of the e-mail followed by <u>initials</u> , <u>date</u> & <u>24-hr time</u> of the format extension " <u>msg</u> " (See Rule 2 for date).	Corr: <u>otsnominationsjonesjb200809100614.msg</u> Incorr: <u>jonesjbotsnominations200809100614.msg</u>
7	NC of attachments (Atch) is the same Rule 5 w/ " <u>Atch</u> " and an indication of the " <u>no.</u> " of atchs in parenthesis at the end of the NC (same as Rule 5). Ex: " <u>Atch01-01</u> "	Corr: <u>requestpurchasejonesjb200809100614Atch01-01.msg</u> Incorr: <u>requestForpurchaseonesjbatch1of1120080910-0614.msg</u>
8	Do not use <u>special characters</u> . The hyphen "-", under-score "_", "!" are acceptable (Rule 4 & 8).	Avoid: \/:*?"<>[];=+&£\$,.(the period "." is automatically inserted by prgm source at the end of the EN before the file ext (.doc).
9	Use an exclamation point "!" at the beginning of the NC for efiles w/ <u>Personally Identifiable Info (PII)</u> .	Corr: <u>!0200-06_oerdoejb0100915.pdf</u> Incorr: <u>oerdoeib!-20100915.pdf</u>
10	When efiles become eRecords, insert the <u>records file disp</u> no. at the beginning of the NC.	Corr: <u>!0200-06_oerdoejb20100915.pdf</u> Incorr: <u>!oerdoejb20100915022702.pdf</u>

Appendix K
Naming Convention Chart

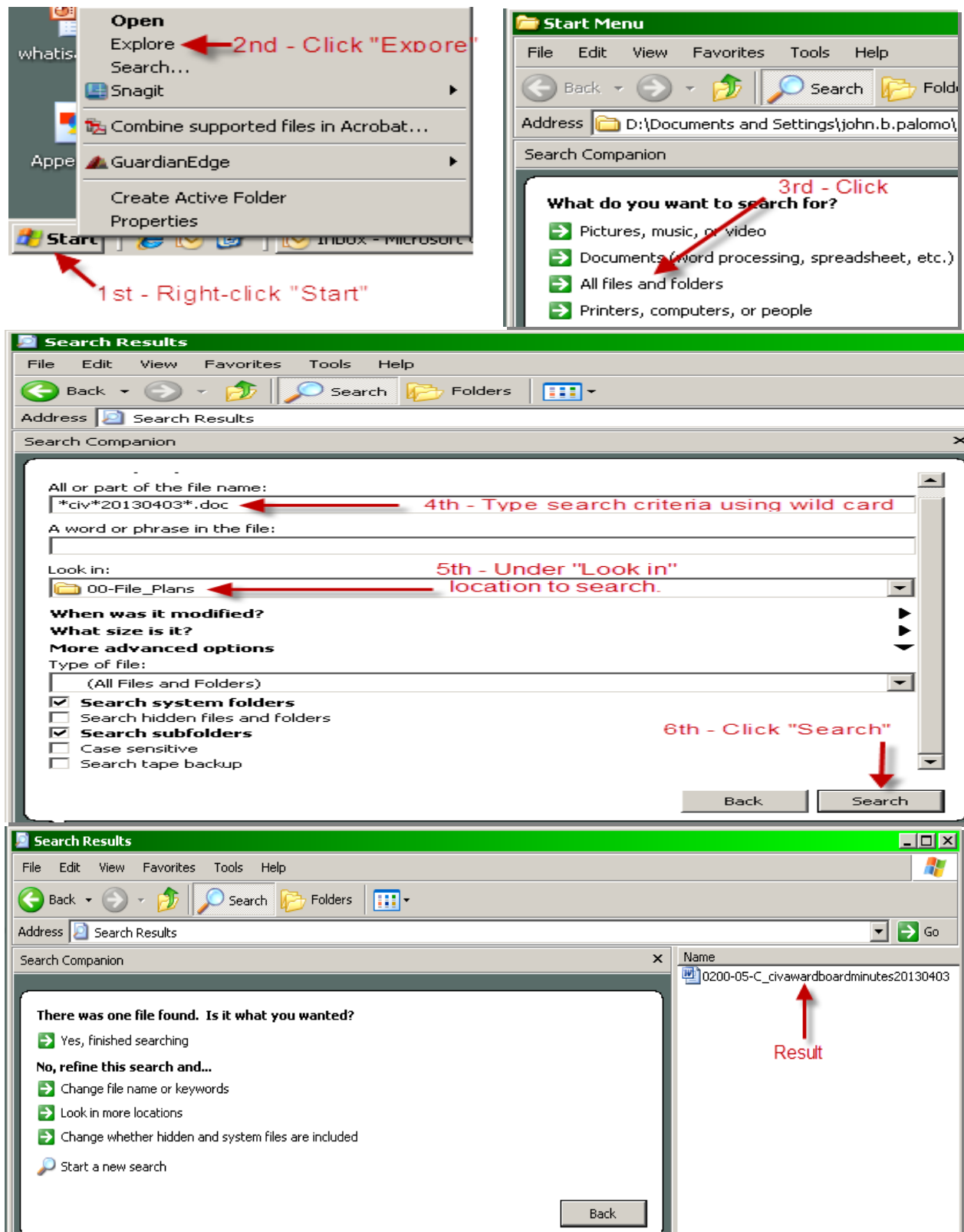
NAMING CONVENTION (NC) CHART

TYPE RECORD	*1 st Part ("!" for PA, PII, etc. and File no.)	2 nd Part (Acct,Form, Policy, Invoice no. or subj)	2 nd Part (Record date & add 24 hr time for emails)	3 rd Part (File ext: doc, pdf, msg)	Naming Convention (All Parts)
Account	File no.	5100004	YYYYMMDD	pdf	5100000420130308.pdf
Adjustments	File no.	5100004	YYYYMMDD	pdf	5100000420130309.pdf
Claim	File no.	ca00001	YYYYMMDD	pdf	ca00001hhg20130310.pdf
Contract	File no.	co12345	YYYYMMDD	pdf	co12345Storage20121231.pdf
Daily Cash Receipt (DCR)	File no.	vo56789	YYYYMMDD	pdf	vo567820130301.pdf
Email	File no.	Subj, last name, first & middle initials of person sending email.	YYYYMMDDTIME	msg	requestshreddingdoejd201303081330.msg
Evaluations	File no.	Form no., last name, first & middle initials of person	YYYYMMDD	pdf	!0200-06_af911doejd20130315.pdf
Minutes	File no.	Subj	YYYYMMDD	pdf	0200-05-c_civawdbboardminutes20130301.pdf
Form	File no.	Form no.	YYYYMMDD	pdf	!sf13520130311.pdf
Invoice	File no.	Invoice no.	YYYYMMDD	pdf	12345copierservices20121231.pdf
Letter	File no.	Subj	YYYYMMDD	pdf	Ltr20130315.pdf
FOIA Requests	File no.	Requestor's Last name, first & middle initials or Company Name	YYYYMMDD	pdf	!foia20130310.pdf
Policy	0000-04	01zerotolerancepolicy	20111017	pdf	0000-04_01zerotolerance20111017.pdf
Travel Voucher	!0600-03	doejd	20130301	pdf	!0600-03_doejd20130301.pdf

*Insert "!" in front of file no. for those files or records containing PA, PII, or sensitive information.

Appendix L

Search Using MS Explore



Appendix M

Vital Records (VR) Protection Plan Template

I. BACKGROUND

This VR Protection Plan outlines actions to be taken to prevent damage to "ORG/OFF SYMBOL" VR, and the recovery of these records if necessary. The following records have been deemed as VR:

Series No.	Title	Location	POC Name & Emergency Phone No.	Type (Electronic, Tape, Film, etc.)

II. DISASTER PREVENTION

- 1. Storage of Records.** Records will not be stored in contact with electrical or fire alarm systems or where they will obstruct any exit, access panel, or fire extinguisher. Precaution will be taken while eating and drinking around records. Any water leaks, rodents, insects will be reported immediately to the facility manager.
- 2. Fire Prevention.** Good housekeeping and prompt elimination of fire hazards are essential. Electrical outlets will not be overloaded, and extension cords should not be used on a permanent, and/or constant basis. All office personnel are expected to be familiar with the location and operations of all fire alarms, fire extinguishers, emergency exits, and evacuation plans.
- 3. Monitoring for Water Leaks.** Water leaks will be reported immediately to the facility manager. If records are at risk of being damaged, remove them to an alternate location to ensure proper care.
- 4. Insects and Rodents.** All food and beverages will be stored properly to reduce the possibility of insect or rodent infestation.

III. PLAN OF ACTION FOR EMERGENCY SITUATIONS

In the event of any natural or manmade disasters, human life must be the number one priority. Take all necessary precautions to protect human life, prior to office resources.

- 1. Cyclone/Severe Storm.** When cyclone or destructive winds are imminent, place all VR in plastic bags to protect them from potential water damage.
- 2. Fire.** When a fire is discovered, the proper authorities should be contacted. The utmost important safety precaution is to ensure the safety of human life. Once the fire has been extinguished and the building is safe to be occupied again, every attempt should be made to recover VR. Water damage may have occurred due to a fire (**see #3 below**).
- 3. Water Damaged Records.** Short of destruction from fire or explosion water damage is considered the most severe to records. Place pieces of paper towels or unprinted newsprint under each damaged sheet. If damage is only slight, records may be fanned or air-dried. For more severe damage, the records may have a need to be frozen. Contact the base records manager to determine the best method to recover records after water damage has occurred; freezing or drying.
- 4. Bomb Threats.** The individual receiving the bomb threat phone call should make every attempt to write down the exact words of the caller by utilizing the local form that should be located at every phone.
- 5. Information Technology/Cyber Attacks.** Follow your local network incident reporting procedures and notify your information security officer and chain of command.

Appendix N

Vital Records (VR) Protection Plan of Action Checklist

VR PROTECTION PLAN OF ACTION CHECKLIST CYCLONE/SEVERE STORM WARNING

CHECKLIST ITEMS	DATE
1. Place records into plastic bags for protection	
2. Monitor situation for water leakage, flooding, sewer blockage, or other water related problems	

FIRE

CHECKLIST ITEMS	DATE
1. Alert personnel of fire	
2. Contact emergency personnel by dialing ???-????	
3. Evacuated personnel are to gather at emergency location (LOCATION)	

FOLLOWING THE FIRE/WATER DAMAGED RECORDS

CHECKLIST ITEMS	DATE
1. Enter building once building is cleared	
2. Handle charred or water damaged records with extreme care	
3. Place records on paper towels or newspaper. Move records by corners of paper towels or newspapers only	
4. Divide records into 3 categories; 1) records to be frozen 2) records to be fan dried, and 3) records requiring no special treatment	
5. Make arrangements for possible relocation of records	

BOMB THREATS

CHECKLIST ITEMS	DATE
1. Write down exact wording of the caller. Utilize the Bomb Threat Aid, (located next to each telephone) to request specifics about the device	

INFORMATION TECHNOLOGY/CYBER ATTACKS

CHECKLIST ITEMS	DATE
1. Follow local network incident reporting procedures. Also, notify your information assurance officer and chain of command of the attack.	
2. Ensure the information assurance officer runs the latest anti-virus/cyber attack software.	

Appendix O
Records Entrance/Exit Interview Form

RECORDS ENTRANCE & EXIT INTERVIEW FORM

Purpose: To ensure that all United States Forces Korea (USFK) employees (military, Federal civilians, contractors, Korean Nationals) are informed of their responsibilities in the creation, maintenance, and disposition of official records of USFK and the U.S. Government upon their assignment to and departure from USFK.

Authority: Title 36 Code of Federal Regulation, Part 1220, Subchapter B, Records Management.

Policy: It is the policy of USFK to ensure that all employees assigned, attached, or temporarily assigned understand their responsibilities when creating, maintaining, and disposing of records. The entrance/exit interviews shall be conducted within 10 days of assignment or 10 days prior to departure by the unit's Files or Records Custodian (FC/RC) and ensure that the interview form is filed in the individual's personnel file.

Enforcement: Any individual who willfully or unlawfully conceals, removes, mutilates, obliterates, or destroys, or attempts to do so, or, with intent to do so takes and carries away any record, proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States, or in any public office, or with any judicial or public officer of the United States, shall be fined under this title or imprisoned not more than three years, or both (Title 18 United States Code, Section 2071).

Objectives:

- To ensure that all records are created, maintained, and disposed of in accordance with USFK, USPACOM, Joint Staff, Department of Defense, and Federal directives;
- To ensure that records are not erroneously disposed or removed from USFK;

Procedure:

1. Arrival/Departure. When an employee is assigned (permanent or temporary) or scheduled to depart USFK, the supervisor must schedule an entrance/exit interview for the employee with the unit's FC/RC.
2. Interview/Signature. Within 10 days of assignment or 10 prior to departure of the employee, the FC/RC must conduct an entrance or exit interview. Upon completion of interview, the interviewee or employee will sign and date the form and provide a copy.
3. File. The FC/RC will ensure that the interview form is filed and a copy provided to the applicable Service Element, Civilian Personnel, or contractor sponsor.



Employee's Name:	Rank:	Category (MIL, CIV, CONT, or KLN):
Organization:	Office:	
Arrival Date:	Departure Date:	
Entrance Interview: I understand my responsibilities when creating, maintaining, and disposing of records in accordance with USFK, USPACOM, Joint Staff, Department of Defense, and Federal directives.		
Employee's Signature: _____		Date: _____
Exit Interview: 1. Do you possess any USFK/Federal records (Initial by choice)? YES: _____ NO: _____ If YES, provided authorization 2. I acknowledge that my statement is true to best of my knowledge and do not possess any USFK/Federal records.		
Employee's Signature: _____		Date: _____

See Reverse for Explanation of Terms

Page 1 of 2

Appendix O

Records Entrance/Exit Interview Form (Continued)

EXPLANATION OF TERMS REFERENCED IN INTERVIEW FORM

Files or Records Custodian (FC/RC) is the individual appointed to perform records management functions of an office of record.

Office of Record is the administrative unit within which records are created or received and accumulated in the course of its principal activity.

Record is all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them.

Records creation means the production or reproduction of any record.

Records disposition means any activity with respect to:

- (1) disposal of temporary records no longer necessary for the conduct of business by destruction or donation;
- (2) transfer of records to Federal agency storage facilities or records centers;
- (3) transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation; or
- (4) transfer of records from one Federal agency to any other Federal agency.

Records maintenance and use means any activity involving:

- (1) location of records of a Federal agency;
- (2) storage, retrieval, and handling of records kept at office file locations by or for a Federal agency;
- (3) processing of records by a Federal agency; or
- (4) selection and utilization of equipment and supplies associated with records and copying.

Records Management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions, and effective and economical management of the agency operations.

Appendix P

OF 11, Reference Request

Complete only the highlighted yellow areas.

REFERENCE REQUESTS - FEDERAL RECORDS CENTERS			NOTE: Use a separate form for each request.	
SECTION I - TO BE COMPLETED BY REQUESTING AGENCY				
ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION		
		OF		
DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED				
[] BOX				
[] FOLDER (include file number and title)				
REMARKS				
NATURE OF SERVICE				
[] FURNISH COPY OF RECORD (S) ONLY	[] PERMANENT WITHDRAWAL	[] TEMPORARY LOAN OF RECORD(S)		
[] REVIEW	[] OTHER (Specify)			
SECTION II - FOR USE BY RECORDS CENTER				
[] RECORDS NOT IN CENTER CUSTODY		REMARKS		
[] WRONG ACCESSION NUMBER-PLEASE RECHECK				
[] WRONG BOX NUMBER-PLEASE RECHECK				
[] WRONG CENTER LOCATION-PLEASE RECHECK				
[] ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED				
[] MISSING (Neither record(s), information nor charge card found in container(s) specified)				
[] RECORDS DESTROYED				
[] RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):		DATE	SERVICE	TIME REQUIRED
				SEARCHER'S INITIALS
SECTION III - TO BE COMPLETED BY REQUESTING AGENCY				
NAME OF REQUESTOR		TELEPHONE NO.	DATE	
NAME AND ADDRESS OF AGENCY		RECEIPT OF RECORDS		
		Requestor please sign, date and return this form, for file item(s) listed above, ONLY if the block to the right has been checked by the Records Center. []		
		SIGNATURE		DATE

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

OPTIONAL FORM 11 (Rev. 1-03)

Glossary

Section I. Abbreviations

CJCSM	Chairman, Joint Chief of Staff Manual
COR	Chief Office of Records
CRM	Command Records Manager
CRO	Command Records Officer
DoD	Department of Defense
DoDD	Department of Defense Directive
EJMAPS	Electronic Joint Manpower and Personnel System
EMO	Electronic Media Only
HO	History Office
ISF	Inactive Storage Facility
J/OA	Joint Organization or Activity
JS	Joint Staff
NARA	National Archives and Records Administration
NC	Naming Convention
PDF	Portable Document Format
PRO	Principal Records Officer
RC	Records Custodian
RMO	Records Management Office
SAV	Staff Assistance Visit
SF	Standard Form
SRO	Senior Records Officer
U.S.C.	United States Code
USPACOM	United States Pacific Command
USPACOMINST	United States Pacific Command Instruction

Section II. Terms

Accession

(v.) To transfer physical and legal custody of documentary materials to an archival institution.

(n.) Materials transferred to an archival institution in a single accessioning action.

Administrative Value is the value of records for the ongoing business of the agency of records creation or its successor in function.

Archives

(1) The noncurrent records of an organization or institution preserved because of their continuing value.

(2) The agency responsible for selecting, preserving, and making available records determined to have permanent or continuing value.

(3) The building in which an archival institution is located.

Active (current) record is a record that is currently used to fill the need for which it was originally produced or acquired.

Administrative records are records concerning the routine operation of any office, common to any agency or locality.

Administrative value is the value of a record based on a continuing need to use the record for daily operations - the administrative usefulness of the records.

Chief Office of records (COR) is the chief or lead member of an office of record (an administrative unit within which records are created or received and accumulated in the course of its principal activity).

Command Records Manager (CRM) is responsible for the entire records management program for USPACOM and its Direct Reporting Units (DRUs) and Sub Unified Commands and provides the planning, directing, controlling, organizing, training, promoting and managing of records.

Command Records Officer (CRO) is the responsible for the entire records management program for USFK and provides the planning, directing, controlling, organizing, training, promoting and managing of records.

Cut off is the date that marks the periodic closing of an old set of files and the start of a new set of files of a records series. May be done annually, quarterly, monthly or other. Cut off is usually at the end of a calendar or fiscal year.

Discovery in law, the pre-trial process of fact finding to discover what was previously unknown or hidden. In a practical sense, the process of discovery opens all of an agency or locality's records to litigants in a suit against that agency or locality.

Disposition means those actions taken regarding records no longer needed for the conduct of the regular current business of the agency.

Disposition authority means the legal authorization for the retention and disposal of records. For Federal records, it is found on SF 115, Request for Records Disposition Authority, which have been approved by the Archivist of the United States. For non-record materials, the disposition is established by the creating or custodial agency. See also records schedule.

Disposition Schedule is the instructions governing retention and disposition of current and noncurrent recurring records series of an organization or agency. Also, called a Records Control Schedule.

Documentary materials is a collective term that refers to recorded information, regardless of the medium or the method or circumstances of recording.

Duplicate copies are copies of original records. May be convenience copies or copies made at intermediate stages of performing a function. Some duplicates may be copies of record for a specific office.

Electronic mail (e-mail, Email, etc.) is any communication that requires an electronic device for storage and/or transmission. E-mail often refers to a package of services designed to automate office communications.

Electronic record means any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record under the Federal Records Act. The term includes both record content and associated metadata that the agency determines is required to meet agency business needs.

Federal agency means any executive agency or any establishment in the Legislative or Judicial branches of the Government (except the Supreme Court, Senate, the House of Representatives, and the Architect of the Capitol and any activities under his direction). (44 U.S.C. 2901(14)).

File means an arrangement of records. The term denotes papers, photographs, maps, electronic information, or other recorded information regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, on electronic media, or on shelves, and occupying office or storage space.

File number or code is the chief identifier for a record in a file plan.

File plan is a records management planning document identifying all records on hand showing where records are located along with their retention periods.

Filing is the process of arranging and sorting records so that they may be retrieved rapidly when needed.

Filing system is a set of policies, procedures, and methods used for organizing and identifying files or records to increase their speed of retrieval, use, and disposition.

Fiscal year is an accounting period of twelve months.

Freeze is created when the agency records officer receives a hold notice for records not in their physical custody but in the custody of an FRC and asks NARA to create a freeze to halt premature disposition of the records. Since most litigations deal with relatively current agency activity, the number of freezes is significantly smaller than the number of holds since the agency still has physical custody of the most records affected by holds.

Historical value is the value of a record based on its uniqueness, age, significance or ability to convey an understanding of the operation of the government.

Holds are simply the implementation of the litigation hold issued by your Counsel's Office. When received, the records officer suspends the normal disposition cycle of the records mentioned in the hold notice to prevent their early/premature disposal. Holds are placed on the records that in your agency's physical custody.

Inactive record is a record that is no longer actively used, has fulfilled its original purpose, but is being retained for other administrative, fiscal, legal or historical purposes.

Informational value is the value of a record based solely on the raw information of data contained in the records.

Legal value is the value of a record based on its ability to document and protect the state and the rights of its citizens or to provide legal proof of a transaction.

Litigation refers to any legal action involving your agency (also see "Freeze and Holds").

Metadata consists of preserved contextual information describing the history, tracking, and/or management of an electronic document.

Non-record materials are those Federally-owned informational materials that do not meet the statutory definition of records (44 U.S.C. 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.

Office of origin or Office of records (see Chief Office of Record) is the administrative unit within which records are created or received and accumulated in the course of its principal activity.

Permanent record means any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody. Permanent records are those for which the disposition is permanent on SF 115, Request for Records Disposition Authority, approved by NARA on or after May 14, 1973. The term also includes all records accessioned by NARA into the National Archives of the United States.

Personal files (also called personal papers) are documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the Government.

Preservation is the act of stabilizing storage environments and records to prevent deterioration and/or reformatting records to a more easily preserved format.

Principal Records Officer (PRO) is the staff principals designated records officer responsible for overseeing the records management program under their principal's purview.

Record is all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them.

Records Center is defined in 44 U.S.C. 2901(6) as an establishment maintained and operated by the Archivist (NARA Federal Records Center) or by another Federal agency primarily for the storage, servicing, security, and processing of records which need to be preserved for varying periods of time and need not be retained in office equipment or space. See also records storage facility.

Records Custodian (RC) is the COR's designated individual to execute the RM program within an office of record.

Recordkeeping requirements means all statements in statutes, regulations, and agency directives or other authoritative issuances, that provide general or specific requirements for Federal agency personnel on particular records to be created and maintained by the agency.

Recordkeeping system is a manual or electronic system that captures, organizes, and categorizes records to facilitate their preservation, retrieval, use, and disposition.

Records disposition is the ultimate destination of records, such as transfers to records center and archives, reformatting, or outright destruction.

Records Management is the profession concerned with achieving economy and efficiency in the creation, use, and maintenance of current records.

Records Managers or Officers are those designated individuals responsible for the Records Management program. Example: SRO, CRM, CRO, PRO, and RC.

Records Management System (RMS) is a manual or automated system that creates, receives, maintains, use, and dispose of records. There are three categories of RMS: (1) Records-keeping System (RKS); (2) Electronic RKS; and (3) Electronic RMS or Records Management Application (RMA).

Records schedule or schedule means any of the following:

- (1) A Standard Form 115, Request for Records Disposition Authority that has been approved by NARA to authorize the disposition of Federal records;
- (2) A General Records Schedule (GRS) issued by NARA; or
- (3) A published agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF 115s or issued by NARA in the GRS. See also comprehensive schedule.

Records storage facility is a records center or a commercial records storage facility, as defined in this section, i.e., a facility used by a Federal agency to store Federal records, whether that facility is operated and maintained by the agency, by NARA, by another Federal agency, or by a private commercial entity.

Retention or retention period is the length of time that records must be kept.

Records retrieval is the process of locating and delivering records.

Records Series is a group of identical or related records that are normally filed together and document a particular function, transaction or activity.

Records transfer is the physical relocation and transfer of control or custody of records to another entity.

Senior Records Officer is USFK's designated individual responsible for the overall USFK Records Management Program which is the USFK Chief of Staff.

Temporary record means any Federal record that has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by the National Archives and Records Administration. This determination may take the form of:

- (1) Records designated as disposable in an agency records disposition schedule approved by NARA (SF 115, Request for Records Disposition Authority); or
- (2) Records designated as disposable in a General Records Schedule.

Unscheduled records are Federal records whose final disposition has not been approved by NARA on a SF 115, Request for Records Disposition Authority. Such records must be treated as permanent until a final disposition is approved.

Vital Records (VR) are essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). Two categories: Emergency Operating and Rights and Interest

VR program is the policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect the essential records needed to meet operational responsibilities under national security emergencies or other emergency conditions or to protect the Government's rights or those of its citizens. This is a program element of an agency's emergency management function.